



03-22-04

1714

PATENT

(Practitioner's Docket No. IN- 5506)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

OTT et al.

US Serial No. 09/889/818

Group Art Unit: Not Assigned

Filed: 07/20/01

Examiner: Not Assigned

For: POWDER-SLURRY THAT CAN BE HARDENED BY ACTINIC RADIATION OR
BY THERMAL MEANS, METHOD FOR PRODUCING SAID SLURRY AND USE OF
THE SAME

Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

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Date of Deposit

March 21, 2002

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TC 1700

I hereby certify that the following attached paper or fee



Information Disclosure Statement
 From PTO-1449
 Cited References

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10
on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

Signature of person mailing paper or fee)

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

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PATENT



(Practitioner's Docket No. IN-5506)

Ex. 9
5/16/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

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Commissioner of Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [REDACTED], filed on [REDACTED]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

In accordance with 37 C.F.R. §1.98(c), a copy of only [REDACTED] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

There are no foreign language documents listed on Form PTO-1449.

A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

@ page 39, LL. 24-29 Ullmanns Encyclopedia Chemie, 3rd edition, volume 14, Urban & Schwarzenberg, Munich, Berlin, 1963, pages 80 to 89
and pages 99-105
@ page 30, LL. 23-25, Römpf Lexikon Lack und Druckfarben, Georg Thieme Verlag, Stuttgart, 1998, pages 444 to 446
@ page 50, LL. 9-12, "Lackadditive" by Johan Bielemann, Wiley-VCH, Weinheim, New York, 1998, page 31 to 65.

CERTIFICATION:

The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

Information Disclosure Statement
Page 2

The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.

4482721	EP	0 004 571 A1
5068305	EP	0 410 242 A2
CA2103520	EP	0 585 742 B1
5484850	EP	0 650 978 A1
5379947	EP	0 652 264 A2
3974303	DE	24 36 186 A1
4225650	DE	26 47 700 A1
4181642	DE	27 49 576 B2
5817733	DE	44 01 544 A1
558911	DE	44 13 436 A1
6187384	DE	195 34 361 A1
6177487	DE	195 40 977 A1
6106905	DE	196 00 147 A1
CA2216111	DE	196 13 547 A1
5981653	DE	196 17 086 A1
5889106	DE	196 31 269 A1
3634323	BE	756693
6133337	WO	9725361
GB1338204	DE	2214650
5714246	EP	767 185
CA2102169	EP	596 460
5418301	WO	93/17060

English language abstract for the following non-English references are enclosed.

EP33896
EP582051
EP286,594
DE4203278
EP650979
DE19623371
DE196 18 657 A1

Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

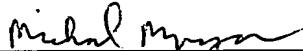
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Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

Reg. No.: 42,906



SIGNATURE OF ATTORNEY

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